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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application: Jan Stallaert et al.

Serial No.: 09/067,640

Filed: April 27, 1998

Art Unit:

Examiner:

For: AN APPARATUS FOR TRADING OF BUNDLED ASSETS
INCLUDING BUNDLE SUBSTITUTION AND METHOD THEREFOR

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

This Information Disclosure Statement is being submitted for the above-identified application for patent. Applicant submits herewith patents, publications or other information of which he is

CERTIFICATION UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence (along with any item referred to as being enclosed herewith) is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231, on March 2, 1999.

Signature

Toni Asendorf

Toni Asendorf
(Printed name of person certifying)

aware, which he believes may be material to the patentability of this application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. § 1.56.

While this Information Disclosure Statement may be "material" pursuant to 37 C.F.R. § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. § 1.56(a) exists.

The attached form, PTO-1449, provides a listing of patents, publications, or other information as required by 37 C.F.R. § 1.98(a)(1).

A copy of the items identified on the attached Form PTO-1449 is supplied herewith.

Respectfully submitted,

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In Place of FORM PTO-1449 (Modified)

Serial No.: 09/067,640
Applicants: Jan Stallaert et al.
Filing Date: April 27, 1998
Group:
Atty. Docket No.: 18608-P001C1

**LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANTS' INFORMATION DISCLOSURE
STATEMENT**

Reference Designation

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
AAA	4,412,287	10/25/83	Walter D. Braddock III	364	408	
ABA	4,674,044	06/16/87	Kalmus et al.	364	408	
ACA	5,077,665	12/31/91	Silverman et al.	364	408	
ADA	5,101,353	03/31/92	Lupien et al.	364	408	
AEA	5,136,501	08/04/92	Silverman et al.	364	408	

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner Initial

AFA Adams et al., "Commodity Bundling and the Burden of Monopoly," *The Quarterly Journal of Economics* Vol. XC, 475-498 (1976).

AGA Brewer et al., "A Binary Conflict Ascending Price (BICAP) Mechanism for the Decentralized Allocation of the Right to Use Railroad Tracks," Social Science Working Paper 887, California Institute of Technology, Division of the Humanities and Social Sciences, Pasadena, California (February 1995).

AHA Goodwin, Richard M., "Iteration, Automatic Computers, and Economic Dynamics," *Metroeconomica* Vol. III, pp. 1-7, (April 1951).

AIA Levin, Jonathan, "An Optimal Auction for Complements," *Games and Economic Behavior* Vol. 18, 176-192 (1997).

AJA McAfee et al., "Multiproduct Monopoly, Commodity Bundling, and Correlation of Values," *The Quarterly Journal of Economics* 371-383 (May 1989).

AKA Gjerstad et al., "Price Formation in Double Auctions," pp. 1-32 (April 7, 1997)

ALA McAfee et al., "Analyzing the Airwaves Auction," *Journal of Economic Perspectives* Vol. 10, No. 1, 159-175 (Winter 1996).

AMA Weber, Bruce W., "Transparency and Bypass in Electronic Financial Markets," Proceedings of the Twenty-Seventh Annual Hawaii International Conference on System Sciences, pp. 865-874 (1994).

ANA Domowitz et al., "Auctions as algorithms," *Journal of Economic Dynamics and Control* Vol. 18, pp. 29-60 (1994).

AOA Radosevich, Lynda, "Wired," *Webmaster*, pp. 26-31 (February 1997).

APA Branco, Fernando, "Designing Markets: on the Use of Combinational Bids in Multi-object Auctions," pp. 1-25 (May 1997).

AQA McAfee et al., "Electronic Markets" in *Readings in Electronic Commerce*, pp. 293-309 (Addison Wesley Longman, Inc. 1997).

ARA Hill et al., "Equity Trading, Program Trading, Portfolio Insurance, Computer Trading and All That," *Financial Analysts Journal*, pp. 29-35 (July-August 1988).

ASA Rubinstein, Mark, "Market Basket Alternatives," *Financial Analysts Journal*, pp. 20-29 (September-October 1989).

ATA McCabe et al., "Designing 'Smart' Computer-Assisted Markets: An Experimental Auction for Gas Networks," *Journal of Political Economy* Vol. 5, pp. 259-283 (1989).

AUA Rassenti et al., "A combinatorial auction mechanism for airport time slot allocation," *The Bell Journal of Economics*, Vol. 13, pp. 402-417 (1982).

AVA Domowitz, Ian, "The Mechanics of Automated Trade Execution Systems," *Journal of Financial Intermediation* Vol. 1, pp. 167-194 (1990).

AWA Rothkopf et al., "Computationally Manageable Cominatorial Auctions," pp. 1-26, Rutgers University (December 1995).

AXA Bikhchandani et al., "Competitive Equilibrium in an Exchange Economy with Indivisibilities," *Journal of Economic Theory* Vol. 74, pp. 385-413 (1997).

Examiner:

Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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